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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

ARC920030011US1

First Inventor

DHARMENDRA SHANTILAL MODHA

Title

A STORAGE SYSTEM AND METHOD FOR DYNAMICALLY
ALLOCATING CACHE SPACE AMONG DIFFERENT WORK

Express Mail Label No.

ER527503671

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **25**]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **3**]
5. Oath or Declaration **UNSIGNED** [Total Pages **2**]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

16834 U.S.PTO
10/676464**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____ / _____

Prior application information:

Examiner: _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or



Correspondence address below

Name

KHANH Q. TRAN

Address

IBM CORPORATION, INTELLECTUAL PROPERTY LAW
650 HARRY ROAD, DEPT. C4TA/J2B

City

San Jose

State

CA

Zip Code

95120-6099

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(408) 927-3375

Name (Print/Type)

KHANH Q. TRAN

Registration No. (Attorney/Agent)

41,352

Signature

Date

9/30/03

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

930.00

Complete if Known

Application Number	
Filing Date	
First Named Inventor	DHARMENDRA SHANTILAL MODHA
Examiner Name	
Group Art Unit	
Attorney Docket No.	ARC920030011US1

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **09-0441**
 Deposit Account Name **IBM Corporation**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	201	740	370			Utility filing fee	750.00
106	206	330	165			Design filing fee	
107	207	510	255			Plant filing fee	
108	208	740	370			Reissue filing fee	
114	214	160	80			Provisional filing fee	

SUBTOTAL (1) (\$)

750.00

2. EXTRA CLAIM FEES

Total Claims **30** -20** = **10** X **18.00** = **180.00**
 Independent Claims **3** - 3** = X **84.00** = **0.00**
 Multiple Dependent =

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	203	18	9			Claims in excess of 20
102	202	84	42			Independent claims in excess of 3
104	204	280	140			Multiple dependent claim, if not paid
109	209	84	42			** Reissue independent claims over original patent
110	210	18	9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	205	130	65			Surcharge - late filing fee or oath	
127	227	50	25			Surcharge - late provisional filing fee or cover sheet	
139	139	130	130			Non-English specification	
147	147	2,520	2,520			For filing a request for ex parte reexamination	
112	112	920*	920*			Requesting publication of SIR prior to Examiner action	
113	113	1,840*	1,840*			Requesting publication of SIR after Examiner action	
115	115	110	55			Extension for reply within first month	
116	116	400	200			Extension for reply within second month	
117	117	920	460			Extension for reply within third month	
118	118	1,440	720			Extension for reply within fourth month	
128	128	1,960	980			Extension for reply within fifth month	
119	119	320	160			Notice of Appeal	
120	120	320	160			Filing a brief in support of an appeal	
121	121	280	140			Request for oral hearing	
138	138	1,510	1,510			Petition to institute a public use proceeding	
140	140	110	55			Petition to revive - unavoidable	
141	141	1,280	640			Petition to revive - unintentional	
142	142	1,280	640			Utility issue fee (or reissue)	
143	143	460	230			Design issue fee	
144	144	620	310			Plant issue fee	
122	122	130	130			Petitions to the Commissioner	
123	123	50	50			Processing fee under 37 CFR 1.17(q)	
126	126	180	180			Submission of Information Disclosure Stmt	
581	581	40	40			Recording each patent assignment per property (times number of properties)	
146	146	740	370			Filing a submission after final rejection (37 CFR § 1.129(a))	
149	149	740	370			For each additional invention to be examined (37 CFR § 1.129(b))	
179	179	740	370			Request for Continued Examination (RCE)	
169	169	900	900			Request for expedited examination of a design application	

Other fee (specify)

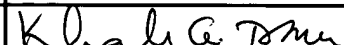
*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

930.00

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	KHANH Q. TRAN	Registration No. (Attorney/Agent)	41,352	Telephone	(408) 927-3365
Signature		Date	9/30/03		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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